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USAWC MILITARY STUDIES PROGRAM PAPER

PROFESSIONAL DEVELOPMENT OF SUBORDINATES
OUR PRIORITY TASK

AN INDIVIDUAL ESSAY

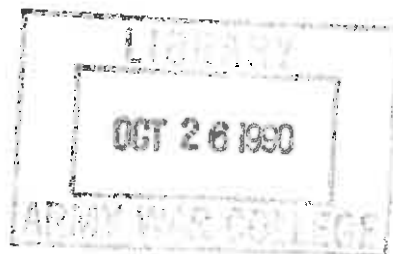
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ABSTRACT

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The purpose of the essay is to define some useful techniques found in the Planning, Accountability, Communication, Control (PAAC) behavioral model, (a modified MBO process developed by Mr. John B. Lasagna) and situational leadership principles presented in Leadership and the One Minute Manager, and then suggest how these techniques can be integrated and used with the OER Support Form to enhance the communication and goal-setting process between the rater and the rated officer. An additional goal, and perhaps the most important, is to emphasize the importance of a continuing dialog between the rater and rated officer throughout the rating period to add, delete, and change performance objectives and provide an opportunity for the critical mentoring process to take place, which is the very essence of professional development. The Support Form can and should be used as the starting point or catalyst for periodic informal discussions which will provide the forum for mentoring.

PROFESSIONAL DEVELOPMENT OF SUBORDINATES
OUR PRIORITY TASK

The Army introduced a new Officer Efficiency Report (OER) System, (DA Form 67-8) on 1 November 1979 which incorporated wide and sweeping changes in comparison to its predecessors. Perhaps the most significant changes were: the initiation of the intermediate rater; the senior rater section, including the subordinate's potential evaluation block which brought with it the DA Form 67-8-2, Senior Rater Profile Report; and potentially the most important tool within the system, the DA Form 67-8-1, Officer Evaluation Report Support Form. The system has reached maturity now, and from all reports is the most effective one ever developed because the senior rater's evaluation has made it possible for selection boards to rank order files according to their merit. Since the system remains healthy after 6 years, it will probably be around for many years to come because it would be foolish to discard something which is obviously not broken.

The introduction of the OER Support Form to the OER System was a totally new innovation and for the first time ever, formally required direct interface between the rated officer and the rater. The purpose of the Support Form was to stimulate communications between the rated officer and the rater in the process of defining the scope of the rated officer's responsibilities within the organization, and establishing clear and measurable objectives to be accomplished during the rated period. Last but not least, it gives the rated officer an opportunity to report back to his boss at the end of the rated period on how well, and to what extent he has accomplished his objectives. Yes, we're talking about a formal system which requires defining responsibilities,

setting goals, and providing feedback. It's a real first and its potential for improving individual and unit effectiveness is unlimited. Another great attribute of the system is that the whole process can be accomplished on two sheets of paper. What more could one ask for?

Although the support form has been in effect for approximately 6 years, it has not won overwhelming and energetic acceptance. It is used because it is required, but all too often it amounts to going through the motions. One indication that perhaps in too many cases the rated officer and the rater were not getting together to fill out the initial Support Form on a timely basis (within the first 30 days of the rating period), is that a change was made to the system effective 1 Oct 85. The change requires the rater and the rated officer to certify by their initials the date of the initial face-to-face meeting. Additionally, in 1986, there will be a requirement to forward a copy of the initial Support Form to the senior rater early in the rating period. This change is being made to implement a Chief of Staff, Army (CSA) approved recommendation of the Professional Development of the Officer Study (PDOS). The purpose of this procedural change will be to "Permit the senior rater to gain a better understanding of the rated officer's responsibilities and performance objectives early in the rating period and, therefore, permit improved assessment and evaluation. It will also get the senior raters more involved to ensure that the rater and rated officer are talking to each other."¹ The genesis of these changes is the Chief of Staff's "footlocker counseling" letter (June 1984) in which he enjoined the officer corps to adopt a mentoring style of leadership which includes counseling, coaching, and teaching. Specifically, the

CSA approved PDOS recommended policy number 89, "Require proper use of OER Support Form as the beginning point of officer coaching."²

The purpose of this essay is to define some useful techniques found in the Planning, Accountability, Communication, Control (PAAC) behavioral model, (a modified MBO process developed by Mr. John B. Lasagna) and situational leadership principles presented in Leadership and the One Minute Manager, and then suggest how these techniques can be integrated and used with the OER Support Form to enhance the communication and goal-setting process between the rater and the rated officer. An additional goal, and perhaps the most important, is to emphasize the importance of a continuing dialog between the rater and rated officer throughout the rating period to add, delete, and change performance objectives and provide an opportunity for the critical mentoring process to take place, which is the very essence of professional development. The Support Form can and should be used as the starting point or catalyst for periodic informal discussions which will provide the forum for mentoring.

THE PACC PROCESS

The Planning, Accountability, Communication, Control, process can be best introduced by presenting the concept and process verbatim from a paper written by SFC Charles R. Richardson, an OE consultant who has worked extensively with Mr. Lasagna.

PACC was developed in 1970 by John Lasagna as a management and team building discipline built around short-term goals and objectives. It is an integrated management process that combines four important management functions into a single discipline. The four management functions are:

- o Planning.
- o Accountability.
- o Communication.
- o Control.

PACC is a "behavioral" process in that individual objectives are established, clarified, and modified in a design where the boss/leader and the subordinate meet on an individual basis. It was designed to be a simple, paper free and time effective way for superiors to work with their subordinates.

PACC is also based on the PARETO Principle (Italian economist) that 20 percent of what one does results in an 80 percent pay off. (Peter Drucker identified the 10/90 idea.) The idea is to identify the critical "few" functions to be managed and delegate the remaining "many." Your subordinates pick up part of your 80 percent as their 20 percent.

20/80 PARIDIGM

20 percent = critical few -identify and manage
 80 percent = trivial many -delegate to someone
 else's 20 percent

-systematize
 -ignore

The PACC process was designed to be flexible so that it could be modified to meet specific organizational needs. It is presented as a seven-step model as outlined below:

STEP I. The manager/commander/boss of a single team at any level of the organization decides if PACC will improve overall team management and productivity (go or no go). If a manager decides to use the PACC process move to STEP II.

STEP II. The manager/commander/boss drafts a brief goal or mission statement that looks out 6 months to 1 year and addresses this statement to the immediate staff or team. The goal statement is action oriented, specific and focuses on where the team should direct its efforts to achieve critical goals. The focus here is on what should be done, not how. The goal statement should be general in nature. It also should be about one and a half (1 1/2 double spaced) pages in length.

STEP III. After the manager drafts his goal statement, a meeting is set up with the manager and subordinates. The manager and subordinates meet to review and rewrite the goal/mission statement. This is an important point for focus and clarity. Again, what is to be done is clarified--how it is to be done is not the subject of this meeting. The group has the opportunity to discuss each goal. When completed, the group and the manager/commander/boss review and negotiate both what was originally written plus the rewrite by team members. This is the buy in and group clarity point. Also it opens communication and gives the team a different view of the boss and his view of the organization.

At the conclusion of this meeting there is a brief lecturette to establish the formatting of critical objectives to meet or go beyond the above goal/mission statement. These objectives address the how.

STEP IV: The fourth step in the PACC process involves a one-on-one meeting between each subordinate reporting to the team manager/commander/boss and the third party trainer/consultant. The purpose and outcome of this meeting is to assist each subordinate in drafting a few (three to seven) critical objectives to meet or go beyond the goal/mission statement developed and reviewed in steps 2 and 3 above. This one on one meeting in addition to producing a definite output also provides a good use of time, since only one member of the team is engaged in PACC at any one time. The other members and the manager/commander/boss are free to do their normal work. This is an attractive benefit to busy managers. Also this can be done at the work site. An hourly schedule is set up for each team member to schedule himself with the consultant so that they can write their own "I Will"/objectives.

STEP V: Once each team member has written his/her objectives (I Wills), a one-on-one meeting is conducted with a single subordinate and the manager/commander/boss. The consultant is present to be the arbitrator, process observer, and hard question asker. Step five allows for negotiation and agreement between a single subordinate and the manager around the three to seven objectives written in step four above. Objectives can be altered, cropped or added as a function of this face-to-face discussion.

STEP VI: Step six is called the recycle step. This is a simple but effective technique in which a final objective/I Will is added to those negotiated above. This objective states a date and a specific time within the next 30 to 40 days for another face-to-face review and negotiation session. The third party facilitator is present for step six, but normally is not present for future meetings rescheduled after each session on a 30-40 day followup basis. The rationale here is that establishing a specific time and date for face-to-face review is as critical a part of PACC's success as is any other objective written, negotiated and agreed upon by each manager and subordinate.

STEP VII: The last step in this integrated process is an evaluation of the PACC process that takes place 3 to 4 months after the completion of step six.³

It is readily apparent that the PACC model has a great deal of applicability to the OER Support Form process found in Section II, pars. 4-4 and 4-5, AR 625-105. By analyzing each step of the PACC model, one can quickly pull out the significant functions that will provide a step-by-step process to be utilized by the rater in meeting the intent and purpose of the Support Form process, as well as producing the framework for mentoring. Since the PACC process was designed to be used with the aid of a facilitator, certain modifications are necessary to adapt it to fit our needs for the Support Form process. By re-examining each step in the original process, it is possible to identify the critical parts of the process that we wish to use with the Support Form.

STEP I. The decision to use the process is already made because the Support Form is required.

STEP II. It is imperative that the rater should establish goals and communicate them to the subordinate. A quick and efficient way to accomplish this step is to share your goals and objectives (from your

DA Form 67-8-1) with your subordinates so that they can have the benefit of understanding what is important to you. You could choose to include your subordinates in identifying your goals, especially if you are new in the job. The OE Transition Model is a tool frequently used by new managers/commanders to accomplish this task.

STEP III. As a continuation of Step two, and an inherent part of the Transition Model, rewriting and clarifying the organizational goals with subordinates has the added benefit of having the "team members" buy into the organization's goals.

STEPS IV and V. The face-to-face meeting required by the Support Form process is accomplished in this step. The importance of having the subordinate discuss his/her goals with you in a quiet uninterrupted session cannot be overstressed. You will learn much about your subordinate's knowledge, abilities and maturity level which will be a key factor in deciding what style of leadership you will use with this individual, a topic for later discussion. You may find at this time your subordinates may need varying degrees of assistance in identifying key goals and objectives or, conversely, may have a good grasp on what should be accomplished in the near future. At the conclusion of this meeting the subordinate should have a clear idea of what goals must be accomplished, what resources will be available and utilized to accomplish these goals, and a clear cut standard to gauge accomplishments by.

STEP VI: The recycle or followup phase, although not addressed in the discussion of the Support Form process in AR 623-105, is critical for two reasons. First, priorities, resources, and plans change. Periodic meetings should be scheduled to discuss changes, accomplishments, and newly formed goals. Perhaps more importantly, this phase provides you, the leader, with the opportunity to carry out your mentor responsibilities of coaching, counseling, and confidence building, which are key ingredients to team building.

STEP VII: Your opportunity to review your progress as a mentor.

Using the rationale above, the seven step PACC model can be modified for our purpose into four steps:

- o Establishing the organizational goals and sharing them with the subordinate.
- o Assisting subordinates in defining responsibilities and setting goals and standards to guide future performance, and contracting for the leadership style to be used.
- o Following up to evaluate progress, making necessary changes and mentoring.
- o Evaluating effectiveness of the total system.

With this slight modification, PACC provides a simple and logical step-by-step process to use in conjunction with the OER Support Form. The principles are sound and founded upon tried and proven management and leadership theory.

SITUATIONAL LEADERSHIP PRINCIPLES

With a well defined, easy to understand and use process in mind, I want to introduce and discuss some leadership and management techniques

which, if applied, may enhance your effectiveness as a leader in dealing with and developing subordinates in the context of our newly defined process. Hershey and Blanchard present an interesting concept that, leadership styles should be commensurate with the subordinates development level, and that it is right and necessary to use different styles with different people in the same organization. We will begin our examination of situational leadership by reviewing the four basic leadership styles and how they are applied in conjunction with the subordinate's development level. The importance of understanding and applying situational leadership with your subordinates has everything to do with your effectiveness as a leader and mentor. The key is to be able to identify and utilize the proper leadership style with your subordinate after having identified his or her development level.

The four basic leadership styles are:

Style 1: Directing--The leader provides specific instructions and closely supervises task accomplishment.

Style 2: Coaching--The leader continues to direct and closely supervise task accomplishment, but also explains decisions, solicits suggestions and supports progress.

Style 3: Supporting--The leader facilitates and supports subordinates' efforts toward task accomplishment and shares responsibility for decision making with them.

Style 4: Delegating--The leader turns over responsibility for decision making and problem solving to subordinates.⁴

With this in mind, we know that each of our subordinates have different competence levels based on their acquired knowledge and experience. The competence level coupled with the individual's

commitment, which is a combination of confidence and motivation, equals their "development level."

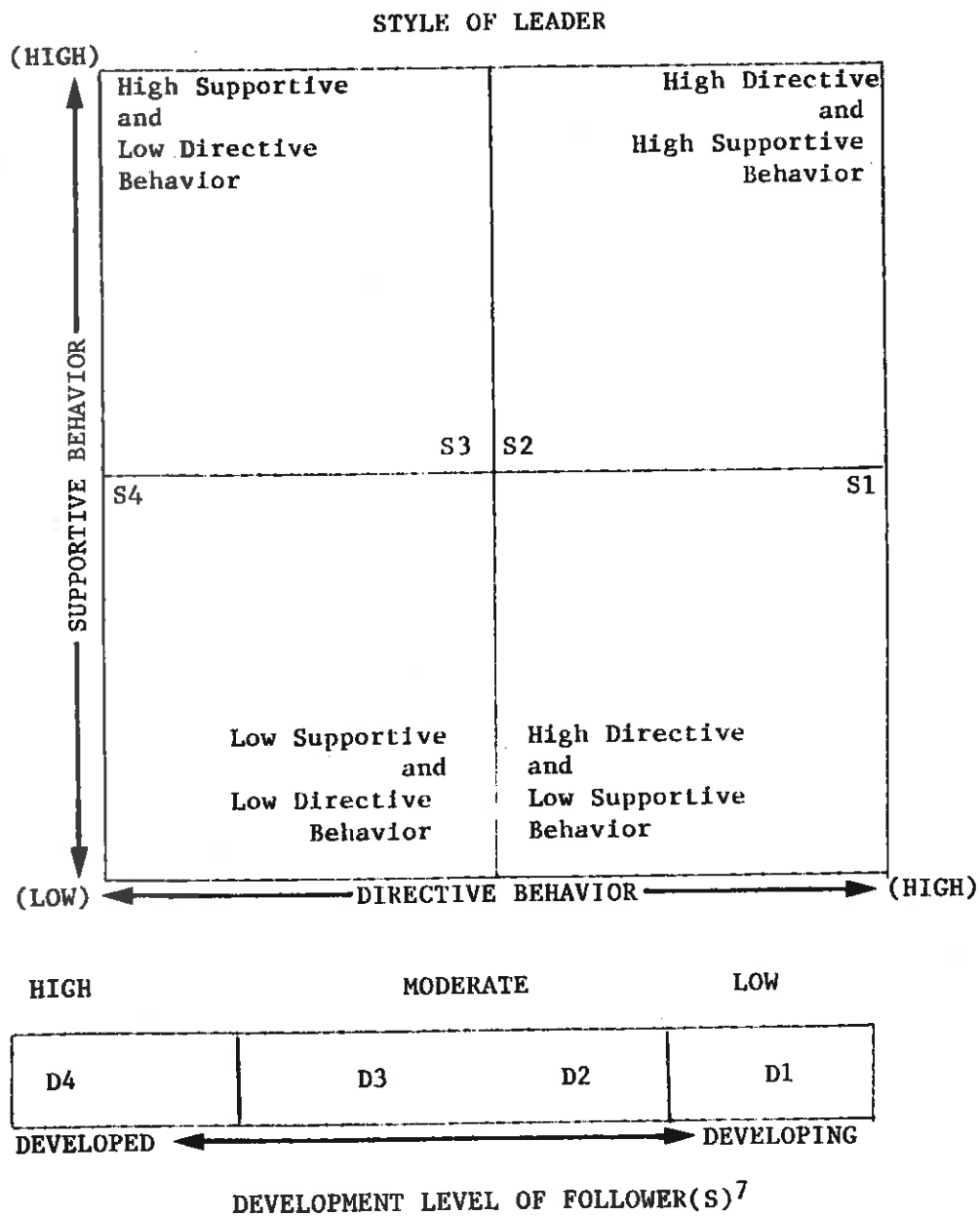
The four development levels are:

<u>D-4</u>	<u>D-3</u>	<u>D-2</u>	<u>D-1</u>
High Competence and High Commitment	High Competence and Variable Commitment	Some Competence and Low Commitment	Low Competence and High Commitment

In linking leadership style with subordinates' development level, Hershey and Blanchard have developed the following chart:

<u>Development Level</u>	<u>Appropriate Leadership Style</u>
<u>D-1</u> Low Competence High Commitment	<u>S-1</u> Directing Structure, Control and Supervise
<u>D-2</u> Some Competence Low Commitment	<u>S-2</u> Coaching Direct and Support
<u>D-3</u> High Competence Variable Commitment	<u>S-3</u> Supporting Praise, Listen, and Facilitate
<u>D-4</u> High Competence High Commitment	<u>S-4</u> Delegating Turn over responsibility for day-to-day decision making ⁶

Placing the same information on a grid chart helps one visualize how leadership style changes from directive (S-1) to delegating (S-4) as the subordinate develops in competence and commitment (from D-1 through D-4).



I am confident that most of us recognize and accept that the four different leadership styles exist and are used. Further, most would identify readily with a particular style, but how many of us would immediately acknowledge that we routinely, and consciously, use all four styles, depending on the situation? I expect most would not readily identify with using situational leadership without a great deal of self-evaluation and reflection. My guess is that after sufficient thought, each of us would recognize that we do treat individuals differently, and you would probably identify the reasons as being those associated with the subordinate's development level, as previously presented. The key is to become conscious of the fact that we do use different leadership styles for good reason, and that it is right and appropriate that we should do so. The next step then is to tell your subordinates what style or styles you will use with them so that they will understand and accept the fact that they are being treated/managed/led differently from others in the organization. If you can successfully accomplish this task, with total understanding by all parties concerned, then you will have mastered the technique of situational leadership. With this ground work laid, let us now go back to our "process" and integrate situational leadership with some key functions of the model.

INTEGRATING SITUATIONAL LEADERSHIP, PACC AND THE SUPPORT FORM

With a good understanding of the modified PACC process which provides the leader with an overall model or framework in which organizational goals are established; subordinates' goals are mutually developed and agreed to; and followup sessions are scheduled to develop

subordinates through mentoring; we can address the critical functions of goal setting and developing subordinates, steps two and three of the model.

Goal Setting

The ultimate objective of goal setting is to establish clear-cut, measurable and time dependent performance objectives which the subordinate will use to direct his or her efforts in accomplishing the desired mission to the desired standard. Key to establishing meaningful goals is the process of deciding what is important. If the superior has established clear-cut and understandable goals for the organization as a whole, they will serve as a guide for the subordinate to quickly identify his or her supporting goals. As for the number of goals to be established, it is important to remember the 20/80 PARIDIGM, i.e., identify the critical few goals that will result in the greatest payoff. Additionally the goals selected should be "SMART." That is, Specific, Measurable, Attainable, Relevant, and Trackable.⁸

Developing Subordinates

The leader's most important duty is to develop subordinates. That is the only way the mission will be accomplished in an efficient and timely manner. It is what we mean when we say, "Take care of the soldiers, and the soldiers will take care of the mission." By training, developing, and leading subordinates they will become proficient and confident. That brings us to the subject of evaluating our subordinates to determine their proficiency and commitment levels in order to select the proper leadership style to use in dealing with them.

Evaluating Needs

The evaluation process by necessity must occur during step two, Goal Setting, of the modified PACC process. It is at this point that the leader, through observation and establishing a meaningful dialog with the subordinate, makes an initial assessment of the individual's development level. The assessment must include his or her level of professional competence and degree of commitment to accomplish the mission. This, of course, is not an exacting science but observation, supervision, and coaching over time will bring things into focus. At the end of the evaluation process, both the superior and subordinate should agree on the subordinate's development level. Should a difference of opinion occur you should accept the subordinate's assessment because an adjustment can be made later on.

Selecting/Contracting Leadership Style

The superior should now select the appropriate leadership style corresponding with the subordinates development level from the Hershey-Blanchard leadership grid. The next item on the agenda is for the boss to explain to the subordinate the leadership style that will be used. The importance of this dialog is to have the subordinate understand the style, be it directing, delegating or somewhere in between. A complete understanding of the leadership style or styles being used by the boss in relation to the subordinate's degree of competence and commitment, relative to the goals to be accomplished, lets the subordinate know what to expect in terms of supervision and direction. The subordinate will

understand also why he or she is being treated differently from others in the organization, which will preclude any hard feelings. Also, he/she will understand that the leadership style will change commensurate with a change in their development level, either positively or negatively, i.e., either more or less support or direction. The key is for the subordinate to understand that you use situational leadership for a good reason, and for their benefit. When the leadership style is selected and mutually understood you will have learned to use three valuable skills. First, flexibility, in that you understand how to use a variety of leadership styles flexibly. Second, diagnosis, you know how to diagnose the needs of the people you supervise. Third, contracting, you have come to an agreement or reached a "contract" on the style of leadership you will use with your subordinates.⁹ Hershey and Blanchard identify these three skills as necessary for being a situational leader. During step two of our modified PACC model we have accomplished the functions of goal setting, evaluation, determination of leadership style, and "contracting" leadership style. The stage is now set for the last but most important step of the process, the followup phase, step 3.

The Mentoring Process

The followup phase is the most important step for the leader, from the standpoint of developing subordinates. As pointed out earlier, there is no mention of followup in that portion of the regulation dealing with the Support Form. Hershey and Blanchard point out that "day-to-day coaching and counseling" is the one function in "performance review" that most managers forget to do. [Performance review consists

of: Performance planning (goals and standards); day-to-day coaching and counseling (professional development and team building); and performance evaluation (the formal evaluation report).]¹⁰ It is in the followup phase that mentoring, which is defined by Lieutenant General Bagnal in his article, "Leaders as Mentors," appearing in Military Review, as: "A mentorship style of leadership is characterized by open communication with subordinates, role modeling of appropriate values, the effective use of counseling for subordinate development and sharing of the leader's frame of reference with subordinate leaders."¹¹ It's what General Wickham meant in his White Paper when he challenged the Army leadership to, "Be a teacher and mentor to the officers and noncommissioned officers soldiers and civilians entrusted to you."¹² The extent to which that challenge has been met in the past is reflected in the following finding of the Professional Development of Officers' Study which states that . . . "less than half of the company grade officers and less than a third of the field grade officers report having a mentor in their current assignment."¹³ Perhaps the importance of mentorship is best described by another finding of that same report, stating that "11 percent of both the company grade and field grade officers note that specific efforts of a commander to mentor, coach and teach them had been the developmental experience making the greatest contribution to their professional development as an officer."¹⁴ Is there any doubt what must be done or the importance of the mission?

The cost to the leader of performing this vital function of mentoring, which has a high-value payoff for the subordinate as well as the leader and the Army, is time. That precious resource that we squander like millionaires, yet we never have enough of to pay all our

dues. Utilizing the OER Support Form as the prime agent for scheduling periodic informal meetings, we can make time for updating objectives, changing priorities, checking on progress, coaching, teaching, counseling and performing other team-building functions. The leader is totally responsible to make it happen, so schedule the followups like any other important meetings. The Support Form is a relatively paper free process, the duty description and objectives take less than one page. The meetings should also be relatively paper free except for a few handwritten notes. Much of what you wish to accomplish can take place on a day-to-day basis as you have occasion to meet with your subordinates, but don't rely totally on these meetings. The "special time" set aside solely for this purpose is very important for your subordinates. It's their special time and you're telling them that they are important. You can't afford not to! If you can't seem to find time, go back and look at your 20 percent, you will probably find that you're spending time on that 80 percent you were supposed to have delegated or systematized. It's a matter of priorities and effective time management. By the time the end of the evaluation period rolls around, both you and your subordinate will be confident about the progress that has been made toward accomplishing goals and objectives. Perhaps your greatest sense of accomplishment will be in having watched the subordinate grow as a result of your mentorship.

THE IMPORT OF PROFESSIONAL DEVELOPMENT

My whole purpose and intent throughout this essay has been to incorporate a useful management model (PACC), and relevant situational leadership principles developed by Hershey, Blanchard, and Patricia and

Drea Zigarmi, with the OER Support Form process in order to give you, the reader, some great ideas about how to make your job of developing subordinates more exciting and meaningful. In my opinion, the governing regulation (AR 623-105) does not adequately describe a process nor does it emphasize the need for a continuing dialog between the rater and the subordinate throughout the rating period which the Chief of Staff, General Wickham, calls "footlocker counseling." These periodic informal sessions during the rating period are the forum for the mentoring process. The situational leadership principles presented herein provide thought provoking ideas on how to become more effective at developing subordinates. The importance of our job as leaders for developing those subordinates entrusted to us is best said by General Wickham, in his 1 June 1984 letter to the officer corps concerning the OER Support Form.

"One of the best indications of how we perform as professionals is the time and effort we spend on the development of our subordinates. No other pursuit can better posture us for the accomplishment of our missions and ensure the future of our Army. Making clear our expectations to our subordinates, allowing them to participate in the decision-making process, coaching and guiding them, and focusing on the linkage between their performance and the organization's missions are fundamental aspects not only of this effort, but also of good leadership."¹⁵

It is my sincere hope that you share my enthusiasm for the usefulness of these tools to accomplish the task set forth for us by the Chief of Staff, General Wickham.

"The teaching of those entrusted to our care is the most important legacy any officer can leave to the US Army, in my opinion."¹⁶

ENDNOTES

1. 1985 Senior Rater Update, p. 1.
2. Professional Development of Officers Study, Vol I, HQDA, WASH DC 1985, p. A-47.
3. SFC Charles R. Richardson, "Planning, Accountability, Communication Control," not dated, pp. 1, 3, 4, 5-7.
4. Kenneth Blanchard, PhD, Patricia Zigarmi, Ed.D, Drea Zigarmi, Ed.D., Leadership and the One Minute Manager, William Morrow and Co., Inc., New York, 1985, p. 30.
5. Ibid., p. 50.
6. Ibid., p. 56.
7. Ibid., p. 74.
8. Ibid., pp. 89-90.
9. Ibid., p. 82.
10. Ibid., pp. 86-87.
11. LTG Charles W. Bagnal, Earl C. Pence, LTC Thomas N. Meriweather, "Leaders as Mentors," Military Review, July 1985, p. 8.
12. General John A. Wickham, Jr., White Paper, 1985: Leadership, US Gov't Printing Office, Washington DC, p. 3.
13. Report to the Officer Corps, Results of the Professional Development of Officers Study Surveys, Office of the Public Affairs, HQDA, Washington DC, April 1985, p. 16.
14. Ibid., p. 16.
15. Letter, United States Army, The Chief of Staff, dated 1 June 1984, p. 1.
16. Ibid., p. 2.